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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Steven M. Bloom et al.

Art Unit : Unknown

Serial No. : 09/758,967

Examiner : Unknown

Filed : January 11, 2001

Title : ARBITRAGE OF TRACKING SECURITIES

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INFORMATION DISCLOSURE STATEMENT

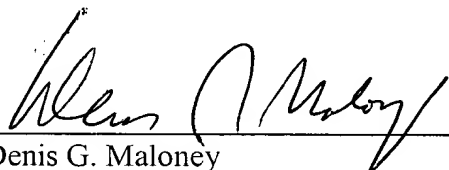
Copies of the references listed on the attached form PTO-1449 are enclosed. A copy of a communication from a foreign patent office in a counterpart application is also enclosed.

This statement is being filed within three months of the filing date of the application or before the receipt of a first Office action on the merits. Please apply any charges or credits to Deposit Account No. 06-1050.

Respectfully submitted,

Date:

4/25/03


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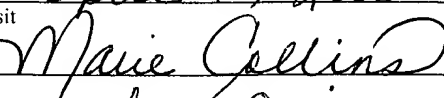
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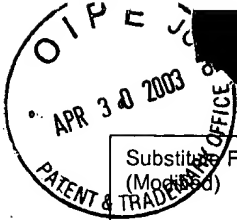
April 25, 2003

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Marie Collins



Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 09857-054001	Application No. 09/758,967
Information Disclosure Statement by Applicant (Use several sheets if necessary) (37 CFR §1.98(b))		Applicant Steven M. Bloom et al.	
		Filing Date January 11, 2001	Group Art Unit 3628

U.S. Patent Documents							
Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
gm	AA	US2001/0025266 A1	9-27-01	Gastineau et al.	705	37	3/23/01
mm	AB	US2002/0091616 A1	7-11-02	Bloom et al.	705	37	1/11/01
	AC						
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Foreign Patent Documents or Published Foreign Patent Applications								
Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
mm	AE	WO 10/72106 A2	10-4-01	Gastineau et al.			X	

Other Documents (include Author, Title, Date, and Place of Publication)		
Examiner Initial	Desig. ID	Document
mm	AF	Malkiel, Burton G., "Investors Shouldn't Fear 'Spiders' --- Exchange-traded funds have some unique advantages and deserve a respected place in the menu of index products." The Asian Wall Street Journal: New York; 05 June 2000, p. 8 (full text) ProQuest (online) (retrieved 16-08-2002).
mm	AG	Damato, Karen, and Lucchetti, Aaron, "Critics Worry About Risks of Exchange-Traded Funds", The Wall Street Journal,; New York; 07 July 2000, p C1 (full text) ProQuest (online) (retrieved 16-08-2002).

Examiner Signature <i>Ngan Nguyen</i>	Date Considered <i>6/23/04</i>
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	